

# Retention and Classification Report

**Agency:** Department of Administrative Services. Division of Risk Management (846)  
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**Records Officer** Camille Richins

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59930	Insurance reports
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**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 27024

3

**TITLE:** Activity reports

**DATES:** 2008-

**ARRANGEMENT:** Chronological by date.

**DESCRIPTION:**

This series contain weekly activity reports used to document the productivity of Risk Management employees. These include reports on both loss control, which documents the weekly activities of employees such as site visits, training, and potential claims reported, and on claims, which tracks new claims filed each week and any claims which have been dismissed or on which judgment has been passed.

**RETENTION:**

Retain 1 year.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 48.

**AUTHORIZED:** 11/13/2008

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

Administrative

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 27024

**TITLE:** Activity reports

(continued)

**PRIMARY CLASSIFICATION:**

Protected UCA 63G-2-305 (16), (17), (23), (24), (33)

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59929

3

**TITLE:** Insurance policy files

**DATES:** i 1952-

**ARRANGEMENT:** Numerical by policy number

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

This record series contains insurance policy contracts entered into by the State of Utah for liability claims. They provide documentation of the state's protection in the event a claim is filed. These records are considered vital to the state's interest. Information includes terms of coverage, limits of coverage, dates of coverage, exclusions, and premium payment records.

**RETENTION:**

Retain 75 years

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 16, Item 12.

**AUTHORIZED:** 02/15/2000

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after policy contract ends and then transfer to State Records Center. Retain in State Records Center for 73 years and then destroy provided policy has been filmed.

Microfilm master: Retain in Office for 75 years after policy contract ends and then destroy provided they have no further value.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59929

**TITLE:** Insurance policy files

(continued)

Microfilm duplicate: Retain in Office for 75 years after policy settlement and then destroy.

**APPRAISAL:**

Administrative Fiscal Legal

Retention is based upon the fact that the insurance policy contract needs to be maintained beyond the policy's expiration date to provide proof of coverage for liability situations applicable to that policy, should a case be reopened, or for actions by the state to prove "bad faith" on the part of the insurer. The liability issues and situations these records may be used for are open-ended and require retention to be of substantial length. The vital nature of these policies necessitate the filming of these records.

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59930

3

**TITLE:** Insurance reports

**DATES:** 1981-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

These are the workpapers used by the agency for reference and the generation of claims files.

This series includes claims correspondence, certificates of insurance, and newspaper clippings.

**RETENTION:**

Retain 12 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 16, Item 6.

**AUTHORIZED:** 03/09/2000

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after current year and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

**APPRAISAL:**

Legal

These records contain claims data that might have some usefulness to the agency if a claim is reopened. The statute of limitations covering these records is UCA 78-12-22.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59930

**TITLE:** Insurance reports

(continued)

**PRIMARY CLASSIFICATION:**

Protected UCA 63G-2-305 (23) (2008)

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59928

3

**TITLE:** Liability risk management claims files

**DATES:** 1980-

**ARRANGEMENT:** Numerical by claim number.

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These case files are used to manage the reporting, investigation, and settlement of liability claims filed against the state, colleges and universities, and school districts. These files include investigative notes regarding the incident/injury; conversations with affected parties; summons, complaints, interrogatives, depositions; financial records, and authorizations for settlement. Personal identifying information includes: name, address, telephone number, date of birth, medical history, possible psychiatric history, property ownership, and number of dependents of claimant.

**RETENTION:**

Retain 50 years after case closes.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 02/2009

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after case closes and then transfer to State Records Center. Retain in State Records Center for 48 years and then destroy.



**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59928

**TITLE:** Liability risk management claims files

(continued)

**APPRAISAL:**

Administrative Fiscal Legal

Some of the legal records are duplicated in the Attorney General's Office, Litigation Division. Because of the investigative notes and the subjective comments that may be included, and the investigator's recommendations to settle, the agency is requesting a confidential classification. Total Claims Summary reports, which are in system design phase now will be public. The agency requests that information about an individual claim is confidential.

**PRIMARY CLASSIFICATION:**

Protected UCA 63G-2-305(12,15,16,22,23,32,33)

**SECONDARY CLASSIFICATION(S):**

Controlled. UCA 63G-2-203(1-2),(6) Certain psychological and medical data

Private. UCA 63G-2-302(1)(b),(e) Personel data and medical data

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59933

3

**TITLE:** Loss control inspection reports

**DATES:** 1986-

**ARRANGEMENT:** Alphabetical by agency

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

This record series contains reports completed by various state agencies to document self-inspection of facilities. The reports are used to identify potential safety hazards within the agency's building and on the adjacent grounds. Agencies have the option of completing this report in order to qualify for a 15% discount on their insurance premium after a follow-up survey has been conducted by Risk Management. Information includes name of the agency, date of initial inspection, name of the person conducting the inspection, problem areas identified, and corrective recommendations.

**RETENTION:**

Retain 14 months.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 04/2000

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 14 months and then destroy.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59933

**TITLE:** Loss control inspection reports

(continued)

**APPRAISAL:**

Administrative

Retention is based on the agency's administrative procedure of comparing recently received reports with reports submitted the previous year. After the comparison procedure is completed, the previous year's report is no longer referred to and administrative need ends.

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 25995

3

**TITLE:** Miscellaneous financial records

**DATES:** 2000-

**ARRANGEMENT:** Chronological by date

**ANNUAL ACCUMULATION:** 3.00 cubic feet.

**DESCRIPTION:**

This series documents various financial records that the Department of Risk Management maintains. These records include travel reimbursements, interagency transfers, accounting reports, spread sheets and any supporting documentation accompanying these records.

**RETENTION:**

Retain 7 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 53.

**AUTHORIZED:** 10/19/2005

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

**APPRAISAL:**

Administrative Fiscal

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 25995

**TITLE:** Miscellaneous financial records

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59934

3

**TITLE:** Premiums charged to state and local agencies for insurance coverage

**DATES:** 1980-

**ARRANGEMENT:** Alphabetical by agency

**ANNUAL ACCUMULATION:** 0.70 cubic feet.

**DESCRIPTION:**

These are records of the premiums charged to the agencies and the worksheets used to calculate the premiums. These premiums are renewed once a year. This series includes the premium notice and the statement of value.

**RETENTION:**

Retain 3 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 02/2006

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after current year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

**APPRAISAL:**

Administrative Fiscal

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59934

**TITLE:** Premiums charged to state and local agencies for insurance coverage

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 82832

3

**TITLE:** Property and casualty risk management claims files

**DATES:** 1980-

**ARRANGEMENT:** Numerical by claim number

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These case files are used to manage the reporting, investigation, and settlement of property and casualty claims filed against the state, colleges and universities, and school districts. These files include investigative notes regarding the incident, and the injury; conversations with affected parties; legal papers such as the notice of claims, summons and complaints, interrogatives, and depositions; financial records such as the record of payments, and authorizations for settlement. Personal identifying information includes: name, address, telephone number, date of birth, medical history, possible psychiatric history, property ownership, and number of dependents of claimant.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1987

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after closure and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

**APPRAISAL:**

Administrative Legal

Some of the legal records are duplicated in the Attorney General's Office, Litigation Division. Because of the investigative notes and the subjective comments that may be included, and the investigator's recommendations to settle, the agency is requesting a confidential classification. Total Claims Summary Reports, which are in system design phase now, will be



**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 82832

**TITLE:** Property and casualty risk management claims files

(continued)

public. The agency requests that information about an individual claim is confidential.

**PRIMARY CLASSIFICATION:**

Controlled

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59932

3

**TITLE:** Property loss report

**DATES:** 1981-

**ARRANGEMENT:** Numerical by claims number

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

These records are statistical data used for forecasting future claims and used in premium negotiations. This series includes correspondence and copies of legal notices from the Attorney General's office.

**RETENTION:**

Retain 7 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 02/2006

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after current year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

**APPRAISAL:**

Administrative

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 59932

**TITLE:** Property loss report

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 23301

3

**TITLE:** Publications

**DATES:** 1974-

**ARRANGEMENT:** Chronological.

**ANNUAL ACCUMULATION:**

**DESCRIPTION:**

This series contains documents created by the agency, including pamphlets, reports, leaflets, file manuals, and other published or processed documents. These records include information on administration, legal matters, fiscal and financial operations, risk management, safety, buildings, planning, hazardous materials, and all other activities of the Division of Risk Management. This series consists primarily of isolated publications not part of a more specific series.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 25.

**AUTHORIZED:** 11/15/2000

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

Historical

Publications which document agency history and functions have ongoing research value.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 23301

**TITLE:** Publications

(continued)

**PRIMARY CLASSIFICATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2015.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 24104

3

**TITLE:** Risk Watch newsletter

**DATES:** 1989-

**ARRANGEMENT:** Chronological.

**ANNUAL ACCUMULATION:**

**DESCRIPTION:**

Risk Watch is a quarterly newsletter published by the Utah Office of Risk Management. Newsletter articles are aimed at managers within state government agencies. The newsletter provides information and training to help avoid disruptive loss occurrences. Topics include fire sprinkler monitoring, hearing loss, civil rights liability, employee screening, disaster recovery, and the like.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 25.

**AUTHORIZED:** 02/04/2002

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

Historical

Publications which document agency history and functions have ongoing research value.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 24104

**TITLE:** Risk Watch newsletter

(continued)

**PRIMARY CLASSIFICATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2015.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 28746

3

**TITLE:** Training program records

**DATES:** 1993-

**ARRANGEMENT:** Alphabetical by program name

**ANNUAL ACCUMULATION:**

**DESCRIPTION:**

These records support the agency's function to implement risk management and loss prevention programs for state agencies (Utah Code 63A-4-101(c)(2006)). These records document training programs created to instruct Utah State Government employees in methods of reducing potential risks, accidents, or losses of state assets, property, as well as personnel. Records may include syllabi, manuals, textbooks, audio-visual presentations, and related materials.

**RETENTION:**

Retain until training program is obsolete.

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 11, Item 48.

**AUTHORIZED:** 07/30/2015

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Video recordings master: Retain in Office until training program is obsolete and then transfer to State Archives with authority to weed.

Digital Versatile Disk - Read Only: Retain in Office until training program is obsolete and then transfer to State Archives with authority to weed.



**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 28746

**TITLE:** Training program records

(continued)

**APPRAISAL:**

Administrative Historical

Disposition is based upon the future research value of the data contained within this series.

**PRIMARY CLASSIFICATION:**

Public

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 08/2015.

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 25994

3

**TITLE:** Written claim checks

**DATES:** 2000-

**ARRANGEMENT:** Chronological by date

**ANNUAL ACCUMULATION:** 3.00 cubic feet.

**DESCRIPTION:**

This series documents claim checks written for Risk Management cases. Information includes copies of checks and any supporting documentation.

**RETENTION:**

Retain 7 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 47.

**AUTHORIZED:** 10/18/2005

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

**APPRAISAL:**

Administrative Fiscal

**AGENCY:** Department of Administrative Services. Division of Risk Management

**SERIES:** 25994

**TITLE:** Written claim checks

(continued)

**PRIMARY CLASSIFICATION:**

Public

**SECONDARY CLASSIFICATION(S):**

Private. UCA 63G-2-302 (1)(e) (2008)